

**DEPARTMENT OF THE NAVY
HUMAN RESOURCES
IMPLEMENTATION GUIDANCE**

GUIDE NO. 273-02 Civilian Human Resources Management
A Self-Assessment Guide for Human Resources
Service Providers

EFFECTIVE DATE: 16 March 1999

ISSUE DATE: 16 March 1999

RELEASER: Betty S. Welch, DASN(CP/EEO)/Signed/

SUBJECT: Guidance For Assessing Services Provided By
Department of the Navy Human Resource Services
Providers

REFERENCE: SECNAVINST 12273.1, Assessment and Evaluation of
Civilian Human Resources Management (HRM)

FEATURES OF THIS GUIDE:

1. Provides procedures for establishing and implementing an assessment program for Department of the Navy human resources service providers, including Human Resources Service Centers and Human Resources Offices.
 2. Provides a set of core metrics used to assess processing, advisory services and accountability support provided by Department of the Navy human resources service providers, including Human Resources Service Centers and Human Resources Offices.
-

DASN(CP/EEO) STAFF OFFICER: Arthur Buck, Strategic Planning and
Assessment Division (DP1)
(703) 696-0434, DSN 426-0434

INTRODUCTION

Human resources management responsibility has been deregulated in recent years, resulting in greater delegation of authority to activity heads and line managers. At the same time, human resources management support staffs are being downsized and restructured. These changes add new challenges to the task of ensuring mission accomplishment while maintaining human resources management effectiveness consistent with the basic principles of a merit-based civil service.

This guide outlines goals and accountability for effective and efficient delivery of human resources support to Department of the Navy organizations. It addresses all of the major program areas (such as staffing and employee relations) supported by Human Resources Service Centers and Human Resources Offices. Within these program areas it addresses the advisory services provided to activity management, the processing performed, and support for ensuring accountability in human resources management. In contrast to previous assessment and evaluation efforts, the focus of this guide is much broader than regulatory compliance. Accountability involves much more than legal compliance. Providing effective, efficient support to serviced organizations and satisfying service receivers is emphasized in this assessment guide.

The framework for assessment of human resources management within the Department of the Navy is set forth in SECNAV Instruction 12273.1. This instruction details the roles and responsibilities of Echelon 2 and higher level organizations for support and validation of service provider self-assessment. Separate guidance (GUIDE NO. 273-01) supports activity self-assessment of its human resources management responsibilities.

*Department of the Navy
Civilian Human Resources Management*

*A Self-assessment Guide
for
Human Resources
Service Providers*



Table of Contents

Introduction.....	3
Purpose.....	3
Background and goals.....	3
Program areas.....	4
Table 1 - Core Program Areas	4
Key indicators of success.....	4
Table 2 - Examples of Key Indicators of Success.....	5
The assessment process.....	6
Table 3 – Steps in the Assessment Process.....	6
Assessing the core program areas	7
Links to other programs and assessment methods.....	7
Relationship to labor-management agreements	7
Keeping this document up-to-date	7
Core Program Area 1 – Compensation.....	8
Core Program Area 2 – Employee Relations.....	9
Core Program Area 3 – Equal Employment Opportunity.....	10
Core Program Area 4 – Labor Relations.....	11
Core Program Area 5 – Position Classification.....	12
Core Program Area 6 – Staffing.....	13
Core Program Area 7 – Training and Employee Development.....	14
Rating Service Provider Results	15
Appendix A – Documenting Results.....	16
Appendix B - Merit System Principles.....	17
Appendix C - Prohibited Personnel Practices	18

Purpose

This guide gives human resources (HR) service providers a framework and guidelines to assess how well they are meeting program goals and objectives. Assessment of support for equal employment opportunity is also included. Within the Department of the Navy, the functions covered by this guide are support responsibilities that are often shared by Human Resources Service Centers and Human Resources Offices. In some cases, organizations within serviced activities provide support, and should be assessed accordingly. This guide does not attempt to distinguish the responsibilities of these various organizations. It focuses instead on their responsibilities to deliver support in partnership with each other.

Background and goals

The process used to assess human resources management within the Department of the Navy is being revised to meet the following goals:

1. Achieve process improvement in service delivery, and share examples of best practices.
2. Support the chain of command responsibility for accountability and service delivery.
3. Continue to ensure that the Department of the Navy meets its legal and regulatory obligations.
4. Focus on identifying and eliminating systemic problems, rather than dwelling on anecdotal issues.
5. Minimize the workload associated with assessment by :
 - eliminating duplicate inspections;
 - minimizing preparation requirements for service providers;
 - reducing reporting requirements; and
 - making use of Navy-wide tools and data whenever possible.

This guide emphasizes partnership among service providers to meet these goals. Standard assessment tools, such as surveys and reports, will be developed to meet Department-wide needs whenever possible. This eliminates the need for dozens of offices to develop similar or identical reports and data collection tools. HR service providers are still able to develop locally unique approaches to identify how well they are meeting their customers' requirements.

Efforts to lessen the burden associated with the assessment process should not be construed as de-emphasizing the importance of assessment. The ability to use both standardized and unique approaches to identify service requirements and assess how well they are being met is intended to make it easier to place the program emphasis on the customers' requirements.

Program areas

This guide focuses on seven core program areas for assessing HR service:

Table 1 - Core Program Areas
<ol style="list-style-type: none">1. Compensation2. Employee Relations3. Equal Employment Opportunity4. Labor Relations5. Position Classification6. Staffing7. Training and Employee Development

Key indicators of success

Specific support functions that are performed for these seven programs fall into four general areas:

- **Advisory services.** Examples include: providing advice about individual staffing, classification and employee relations actions; providing civilian personnel and equal employment opportunity training, information and guidance; and participating in command and activity management planning, organization design and decision-making efforts.
- **Processing services.** Examples include: processing awards; rating applications for promotion; recruiting; documenting official personnel actions; ensuring that information systems have current and accurate data; classifying positions; determining placements in a reduction-in-force; and drafting disciplinary action letters. In this context, processing is much broader than clerical and procedural functions. For example, staffing processes typically would include measures of timeliness as well as measures of the extent to which an adequate number of well-qualified candidates were made available to the selecting official.
- **Representation services.** Examples include representing management at hearings and representing the Department of the Navy as an employer at a college recruitment function.
- **Accountability support.** Examples include: implementing processes to ensure adherence to regulatory requirements; compliance with Merit System Principles; and prevention of Prohibited Personnel Practices (see Appendix B on page 17 and Appendix C on page 18 for further information).

The nature of the services performed as well as customer requirements and expectations should be considered in the selection of specific indicators of success in these areas. Selection of key indicators of success, including the measurement approach and goals to be achieved, should also conform with requirements from higher level organizations (such as meeting established “corporate” standards) and be done in partnership with service receivers. Measures of success should include customer satisfaction, productivity, and accountability results whenever possible. Examples of key indicators of success are provided in the following table.

Table 2 - Examples of Key Indicators of Success

The following examples are not all-inclusive. For any given service, some will be more important than others. Keep in mind the balance between the cost of measurement and its potential value when selecting the most important indicator(s) for each function.

1. Advisory Services:

- Timeliness of advice
- Ease of service receiver access to advisory service
- Service receiver satisfaction with timeliness of advice
- Service receiver satisfaction with how well advice meets their needs
- Level of confidence the service receiver has in the advice provided
- Cost of advisory services
- Adequacy of training
- Correctness of technical advice

2. Processing Services:

- Timeliness of processing
- Service receiver satisfaction with timeliness of service delivery
- Service receiver satisfaction with quality or adequacy of the product provided
- Completeness of processing (such as percent of cases not requiring rework)
- Cost of processing services
- Technical correctness of processing

3. Representation Services:

- Timeliness of action
- Effectiveness of results
- Service receiver satisfaction with representation
- Service receiver satisfaction that representation is a value added process
- Cost of representation services
- Extent to which peer review is positive

4. Accountability Support:

- Establishment of accountability goals
- Achievement of accountability goals
- Customer satisfaction with approach to resolving accountability problems
- Achievement of process improvement goals

The assessment process

The following outline illustrates how this process comes together:

Table 3 – Steps in the Assessment Process	
Process Step	Examples
1. Select a program area.	<ul style="list-style-type: none">• Employee Relations• Staffing
2. Select a function that is performed by your organization.	<ul style="list-style-type: none">• Advice on dealing with problem employees• Filling positions through merit promotion
3. Identify a key indicator of success (either taken from or similar to those identified in Table 2). *	<ul style="list-style-type: none">• Confidence in advice received• The time it takes to fill a position
4. Identify a goal to be achieved (Note: the goal can be based on the results of partnering with customers, and may involve comparison with other organizations or improvement over time). *	<ul style="list-style-type: none">• At least 80% of customers are very confident that they receive good advice• At least 70% of clerical jobs are filled within 30 days
5. Establish and implement a system to measure success in achieving the goals.	<ul style="list-style-type: none">• Establish and implement an annual survey of managers who have received advice during the past year• Track and report on timeliness each quarter
6. Gather and tabulate results.	<ul style="list-style-type: none">• Annual survey shows that 85% of managers are either confident or very confident that they are receiving good advice• Quarterly results show that 40-50% of clerical positions have been filled within 30 days for the past 2 quarters
7. Evaluate and take action based upon the results of both self-assessment and external validation of results.	<ul style="list-style-type: none">• Share results with service receivers. Review goal to ensure that it is appropriate. Share best practices.• Share results with service receivers. Review goal to ensure that it is appropriate. Identify reasons for failure to achieve the goal. Develop improvement plan.

*** Requirements of higher level organizations and service receivers should play a role in this step.**

Assessing the core program areas

The functions that must be assessed in each of the seven core program areas (identified in Table 3) are listed on the following seven pages. Additional functions can and should be assessed if they are significant services provided by the organization. In each area, the functions listed may be performed at a Human Resources Service Center, a Human Resources Office, or another organization. **Each organization is responsible for assessing the functions that it performs.** Although most processing services are likely to be performed at a Human Resources Service Center, and most advisory services at a Human Resources Office, this should not be automatically assumed. For each function the service provider performs, the approach outlined in Table 3 should be used to perform a self-assessment. The results of the self-assessment should be used to identify areas where process improvement is needed and should be shared when best practices are identified. Results should be documented at least annually using the format shown in Appendix A or a similar format. Documentation should be retained for comparison over time, to establishment trends, and for validation by higher-level program offices.

Links to other programs and assessment methods

The structure of this guide is intended to complement common assessment methods, such as the Malcolm Baldrige and President's Quality Award assessment methodologies.

Relationship to labor-management agreements

This guide is not intended in any way to contradict the provisions of established labor-management agreements. Partnerships between management and labor organizations to address HRM issues, and to develop and implement program improvements, are encouraged.

Keeping this document up-to-date

This guide will be updated periodically to incorporate new material, and to change references (such as new or changed web sites) as needed. A current version will be maintained at the DON HRM web site, at: <http://www.dasnhroc.navy.mil>.

Core Program Area 1 – Compensation

Overview

Compensation functions include pay, hours of duty, benefits (such as health and life insurance), retirement, and leave administration. Each of the following functions must be assessed if it is a responsibility of the service organization. The assessment process is outlined in Table 3 on page 6 of this guide.

Functions to be assessed

Advisory Services

1. Providing advice and guidance on compensation, including pay-setting, recruitment and retention pay, proper use of premium pay and issues associated with hours of duty and leave.
2. Providing advice and guidance on benefits programs, such as life insurance, health insurance, and retirement.
3. Providing advice on workers compensation programs.
4. Helping activities understand and implement processes that support the Merit System Principles, particular with regard to providing equal pay for equal work and rewarding excellent performance. The Merit System Principles are outlined in Appendix B on page 17 of this guide.

Processing Services

1. Processing life and health insurance actions.
2. Processing retirement actions.
3. Correcting pay errors and making pay adjustments.
4. Processing workers compensation cases.
5. Processing Thrift Savings Program changes.
6. Processing death benefits claims.

Representation Services

No Navy-wide requirements are established in this area. Locally developed measures should be implemented, as appropriate.

Accountability Support

1. Setting pay in accordance with legal requirements.
2. Documentating recruitment, retention and relocation pay.
3. Ensuring that life and health insurance actions meet technical requirements.
4. Ensuring that retirement actions meet technical requirements.

Core Program Area 2 – Employee Relations

Overview

Employee Relations functions include rewarding employees, dealing with problem employees, assessing employee performance, and creating a good work environment. Each of the following functions must be assessed if it is a responsibility of the service organization. The assessment process is outlined in Table 3 on page 6 of this guide.

Functions to be assessed

Advisory Services

1. Providing advice and guidance on performance appraisal and effective use of awards.
2. Providing advice and guidance on dealing with employee problems, including the civilian employee assistance program, and disciplinary and adverse action cases.
3. Providing advice and guidance on grievances and the grievance process.
4. Providing advice on quality of worklife issues.
5. Helping activities understand and implement processes that support the Merit System Principles, particular with regard to:
 - maintaining high standards of integrity, conduct, and concern for the public interest,
 - managing employees efficiently and effectively, retaining or separating employees on the basis of their performance, and
 - providing equal pay for equal work and rewarding excellent performance.The Merit System Principles are outlined in Appendix B on page 17 of this guide.

Processing Services

1. Documenting performance ratings.
2. Processing awards.
3. Documenting disciplinary and adverse actions.

Representation Services

No Navy-wide requirements are established in this area. Locally developed measures should be implemented, as appropriate.

Accountability Support

1. Ensuring that performance ratings meet technical requirements.
2. Ensuring that awards meet technical requirements.
3. Ensuring that disciplinary and adverse actions meet technical requirements.

Core Program Area 3 – Equal Employment Opportunity

Overview

Equal Employment Opportunity functions include support for affirmative employment programs and support for the EEO complaints process. Each of the following functions must be assessed if it is a responsibility of the service organization. The assessment process is outlined in Table 3 on page 6 of this guide.

Functions to be assessed

Advisory Services

1. Providing advice and guidance on how to achieve affirmative employment goals.
2. Providing advice and guidance on prevention of sexual harassment.
3. Providing advice and guidance on establishing recruitment, training, and employee relations programs that are free from illegal discrimination.
4. Providing advice and guidance on establishing procedures for timely resolution of complaints.
5. Providing advice on the proper use of special emphasis programs.
6. Helping activities understand and implement processes that support the Merit System Principles, particularly with regard to treating employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, sexual orientation, marital status, age, or handicapping condition. The Merit System Principles are outlined in Appendix B on page 17 of this guide.

Processing Services

1. Providing EEO counseling.
2. Documenting EEO complaint processing.
3. Preparing and submitting required reports.

Representation Services

No Navy-wide requirements are established in this area. Locally developed measures should be implemented, as appropriate.

Accountability Support

1. Ensuring that EEO efforts meet legal requirements.
2. Ensuring that efforts to prevent sexual harassment meet legal requirements.
3. Ensuring that complaint processes meet technical requirements.

Core Program Area 4 – Labor Relations

Overview

Labor Relations addresses support for constructive partnership between management and labor organizations. Each of the following functions must be assessed if it is a responsibility of the service organization. The assessment process is outlined in Table 3 on page 6 of this guide.

Functions to be assessed

Advisory Services

1. Providing advice and guidance on partnership.
2. Providing advice and guidance on negotiation strategy.
3. Providing advice and guidance on contract administration.
4. Providing advice and guidance on responding to unfair labor practice (ULP) charges.
5. Helping activities understand and implement processes which support the Merit System Principles, particularly with regard to:
 - maintaining high standards of integrity, conduct, and concern for the public interest, and
 - managing employees efficiently and effectively.The Merit System Principles are outlined in Appendix B on page 17 of this guide.

Processing Services

1. Training supervisors in specific contract requirements.

Representation Services

No Navy-wide requirements are established in this area. Locally developed measures should be implemented, as appropriate.

Accountability Support

1. Documenting official time used by union representatives.
2. Ensuring that supervisory training requirements are met.
3. Establishing a local job action contingency plan.
4. Ensuring that employees are informed annually of their Weingarten Rights (rights to union representation in certain situations).

Core Program Area 5 – Position Classification

Overview

Position Classification functions include classifying positions and advising management about the classification process, organization design and reorganization. Each of the following functions must be assessed if it is a responsibility of the service organization. The assessment process is outlined in Table 3 on page 6 of this guide.

Functions to be assessed

Advisory Services

1. Providing advice and guidance on position classification.
2. Providing advice and guidance on position management and organization design.
3. Helping activities understand and implement processes that support the Merit System Principles, particularly with regard to providing equal pay for equal work and rewarding excellent performance. The Merit System Principles are outlined in Appendix B on page 17 of this guide.

Processing Services

1. Classifying positions.
2. Documenting classification actions.

Representation Services

No Navy-wide requirements are established in this area. Locally developed measures should be implemented, as appropriate.

Accountability Support

1. Ensuring adequacy of position documentation.
2. Ensuring accuracy of position classification.
3. Ensuring grievance and appeal requirements are followed.

Overview

Staffing functions include external recruitment, internal recruitment, and downsizing, including reductions-in-force. Each of the following functions must be assessed if it is a responsibility of the service organization. The assessment process is outlined in Table 3 on page 6 of this guide.

Functions to be assessed

Advisory Services

1. Providing advice and guidance on options for staffing and recruitment, including Priority Placement Program requirements and Veterans Preference requirements.
2. Providing advice and guidance on reductions-in-force.
3. Helping activities understand and implement processes which support the Merit System Principles, particularly recruiting qualified individuals from all segments of society and selecting and advancing employees on the basis of merit after fair and open competition. The Merit System Principles are outlined in Appendix B on page 17 of this guide.

Processing Services

1. Filling positions through external recruitment.
2. Filling positions through merit promotion.
3. Implementing reductions-in-force.

Representation Services

No Navy-wide requirements are established in this area. Locally developed measures should be implemented, as appropriate.

Accountability Support

1. Ensuring that pre-selection technical requirements are met.
2. Ensuring that post-selection technical requirements are met.
3. Ensuring that personnel action documentation is accurate.
4. Ensuring that priority placement program requirements are met.
5. Ensuring that Veterans Preference requirements are met.
6. Ensuring that reductions-in-force meet technical requirements.
7. Ensuring that delegated examining is performed in accordance with applicable requirements.

Core Program Area 7 – Training and Employee Development

Overview

Training and Employee Development functions include helping organizations identify training requirements and helping to provide training to meet those requirements. Each of the following functions must be assessed if it is a responsibility of the service organization. The assessment process is outlined in Table 3 on page 6 of this guide.

Functions to be assessed

Advisory Services

1. Providing advice and guidance on activity training plan development.
2. Providing advice and guidance on individual development.
3. Helping activities understand and implement processes which support the Merit System Principles, particularly with regard to educating and training employees when it will result in better organizational or individual performance. The Merit System Principles are outlined in Appendix B on page 17 of this guide.

Processing Services

1. Processing requests for training.
2. Documenting employee training.
3. Preparing and submitting required reports.
4. Managing training delivery.

Representation Services

No Navy-wide requirements are established in this area. Locally developed measures should be implemented, as appropriate.

Accountability Support

1. Ensuring that periodic training needs assessments are conducted.
2. Ensuring that training plans are established where required.
3. Ensuring that mandatory training requirements are met.

Rating Service Provider Results

The following table can be used to assign a rating to the Human Resources Management Results:

SCORE	RESULTS
0%	<ul style="list-style-type: none">No results or poor results in areas reported
10% to 30%	<ul style="list-style-type: none">Early stages of developing trends; some improvements and/or early good performance levels in a few areasResults not reported for many to most areas of importance to key performance requirements
40% to 60%	<ul style="list-style-type: none">Improvement trends and/or good performance levels reported for many to most areas of importance to the key performance requirementsNo pattern of adverse trends and/or poor performance levels in areas of importance to the key performance requirementsSome trends and/or current performance levels evaluated against relevant comparisons and/or benchmarks show areas of strength and/or good to very good relative performance levels
70% to 90%	<ul style="list-style-type: none">Current performance is good to excellent in most areas of importance to the key performance requirementsMost improvement trends and/or performance levels are sustainedMany to most trends and/or current performance levels evaluated against relevant comparisons and/or benchmarks show areas of leadership and very good relative performance levels
100%	<ul style="list-style-type: none">Current performance is excellent in most areas of importance to the key performance requirementsExcellent improvement trends and/or sustained excellent performance levels in most areasStrong evidence of industry and benchmark leadership demonstrated in many areas

Assessment Worksheet

The worksheet provided in Appendix A on page 16 can be used to document the results of the service provider assessment. Additional comments should be attached on plain paper if the space provided is not adequate. **Best practices** are those which should be considered for broader deployment. **Systemic problems** are external policy or program requirements that are causing problems in the management of human resources.

Appendix A – Documenting Results

Activity Name:	Date:
Core Program Area: <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;"> <input type="checkbox"/> Compensation <input type="checkbox"/> Employee Relations <input type="checkbox"/> Equal Employment Opportunity <input type="checkbox"/> Labor Relations </div> <div style="width: 45%;"> <input type="checkbox"/> Position Classification <input type="checkbox"/> Staffing <input type="checkbox"/> Training and Employee Development </div> </div>	
Advisory Services	Rating:
<i>Strengths:</i> <i>Areas for improvement:</i>	
Processing Services	Rating:
<i>Strengths:</i> <i>Areas for improvement:</i>	
Representation Services	Rating:
<i>Strengths:</i> <i>Areas for improvement:</i>	
Accountability Support	Rating:
<i>Strengths:</i> <i>Areas for improvement:</i>	
Best Practices:	
Systemic Problems:	

Appendix B - Merit System Principles

The Merit System Principles listed below are adapted from the statutory language that appears in Section 2301 of Title 5, United States Code.

- Recruit qualified individuals from all segments of society and select and advance employees on the basis of merit after fair and open competition.
- Treat employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, sexual orientation, marital status, age, or handicapping condition.
- Provide equal pay for equal work and reward excellent performance.
- Maintain high standards of integrity, conduct, and concern for the public interest.
- Manage employees efficiently and effectively.
- Retain or separate employees on the basis of their performance.
- Educate and train employees when it will result in better organizational or individual performance.
- Protect employees from improper political influence.
- Protect employees against reprisal for the lawful disclosure of information in "whistleblower" situations (i.e., protecting people who report things like illegal and/or wasteful activities).

Appendix C - Prohibited Personnel Practices

The prohibited personnel practices listed below are adapted from the statutory language that appears in Section 2302 of Title 5, United States Code. Any employee who has authority to take, direct others to take, recommend, or approve any personnel action, shall not, with respect to such authority:

- Discriminate on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation.
- Solicit or consider any personnel recommendation or statement not based on personal knowledge or records of performance, ability, aptitude, general qualifications, character, loyalty, or suitability.
- Coerce an employee's political activity.
- Deceive or obstruct any person with respect to such person's right to compete for employment.
- Influence a person to withdraw from competition.
- Grant any preference or advantage not authorized by law, regulation, or rule.
- Employ or promote a relative.
- Retaliate against employees or applicants who exercise their appeal rights, testify or cooperate with an inspector general or the Special Counsel, or refuse to break a law.
- Discriminate based on actions not adversely affecting performance, or
- Violate any law, rule, or regulation implementing or directly concerning the merit principles.